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PATENTS  
CF/002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Stuart A. Fraser et al.

Application No. : 09/553,423 Confirmation No. : 3987

Filed : April 19, 2000

For : SYSTEMS AND METHODS FOR TRADING

Group Art Unit : 3628

Examiner : Harish T. Dass

New York, New York  
July 31, 2003

Hon. Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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Sir:

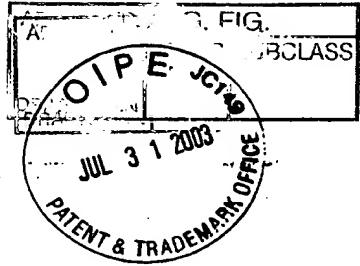
Pursuant to 37 C.F.R. § 1.85, applicants herewith furnish thirty-two (32) sheets of formal drawings (Figs. 1-25b), to be substituted for the thirty-two sheets of informal drawings filed on April 19, 2000.

Respectfully submitted,

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Joel Weiss

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Attorney for Applicants

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1/32

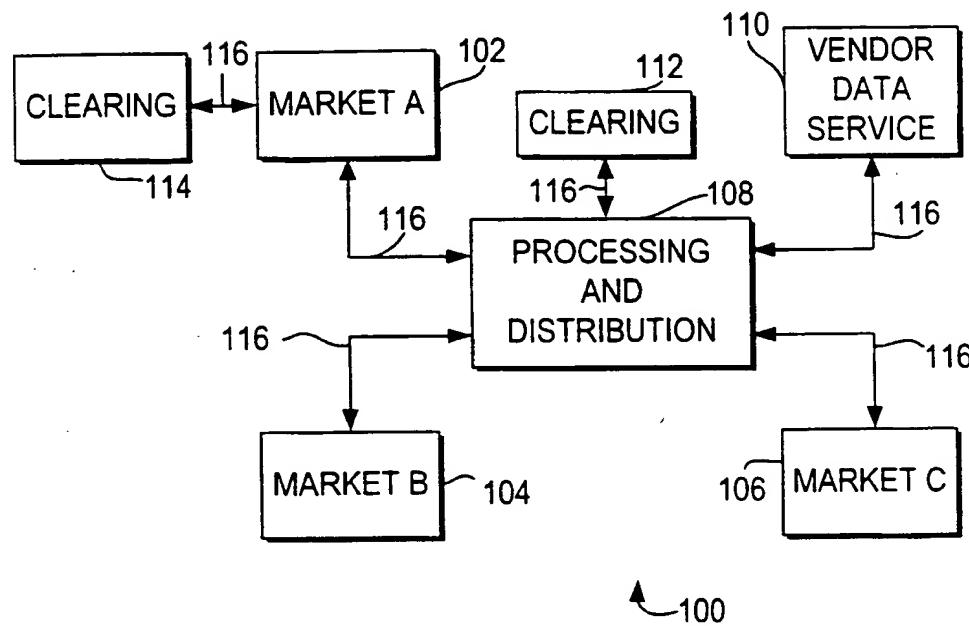
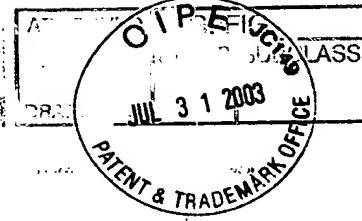


FIG. 1



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Filed: April 19, 2000 Appl. No.: 09/553,423  
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Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 310-596-9000  
Express Mail Label No.: EV242439368US Sheet 2 of 32

2/32

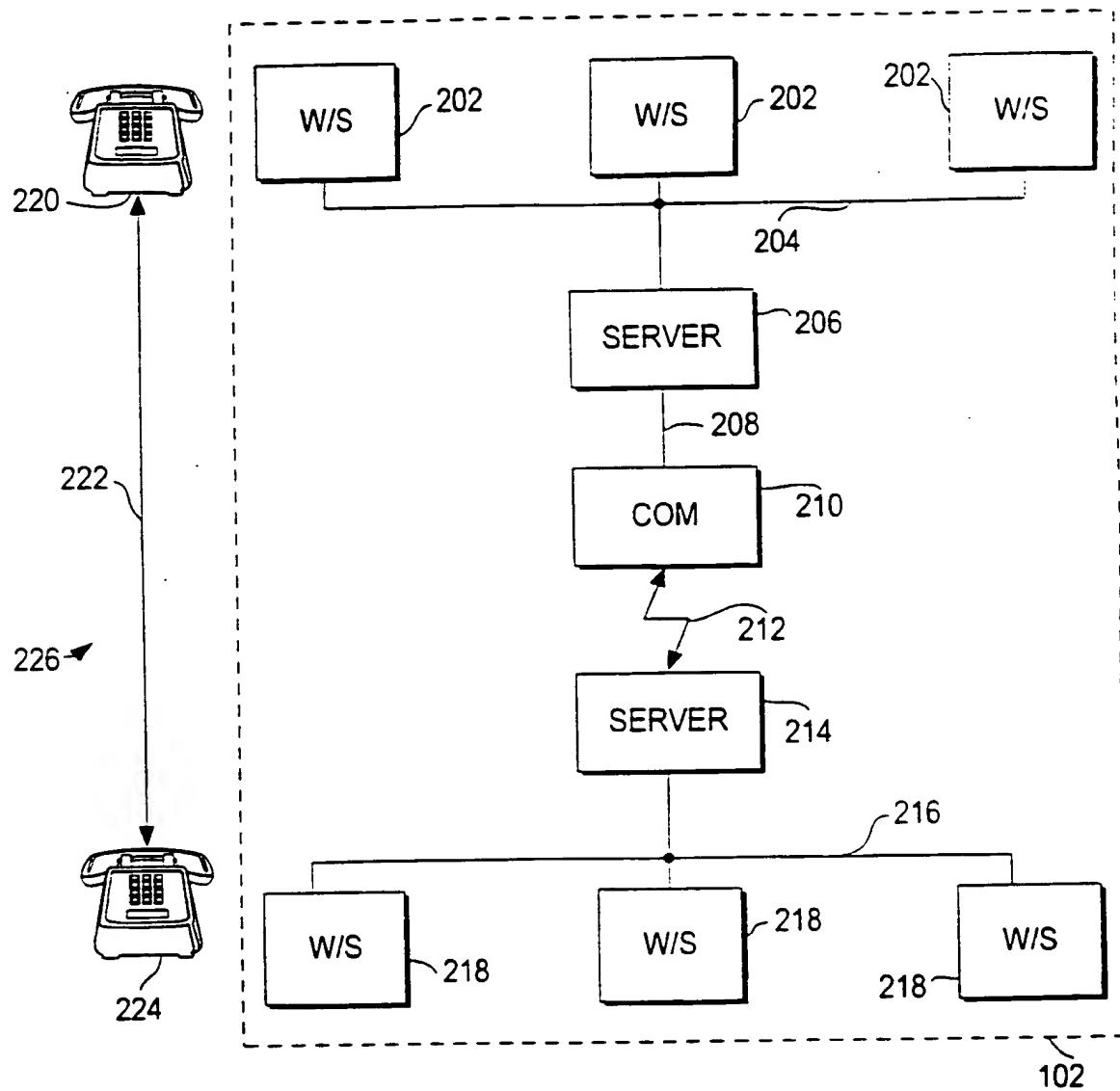


FIG. 2

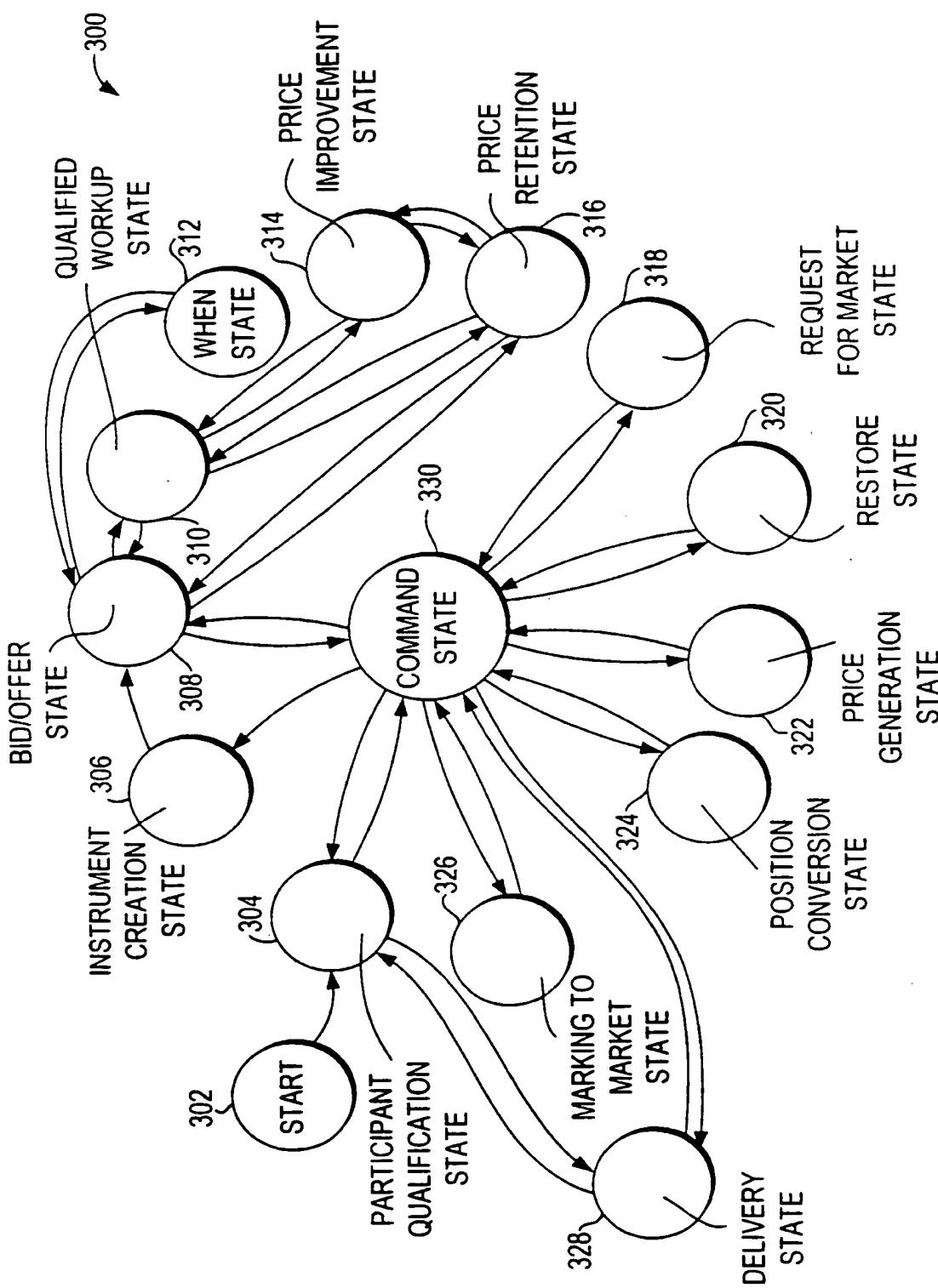
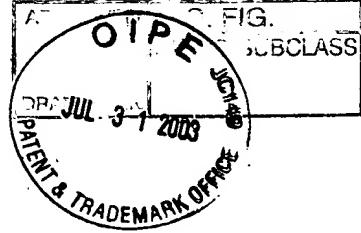
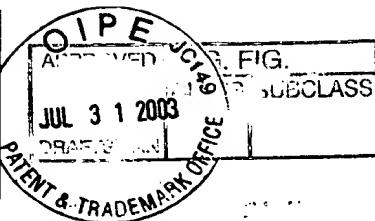


FIG. 3



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Filed: April 19, 2000 Appl. No.: 09/553,423  
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Express Mail Label No.: EV242439368US Sheet 4 of 32

4/32

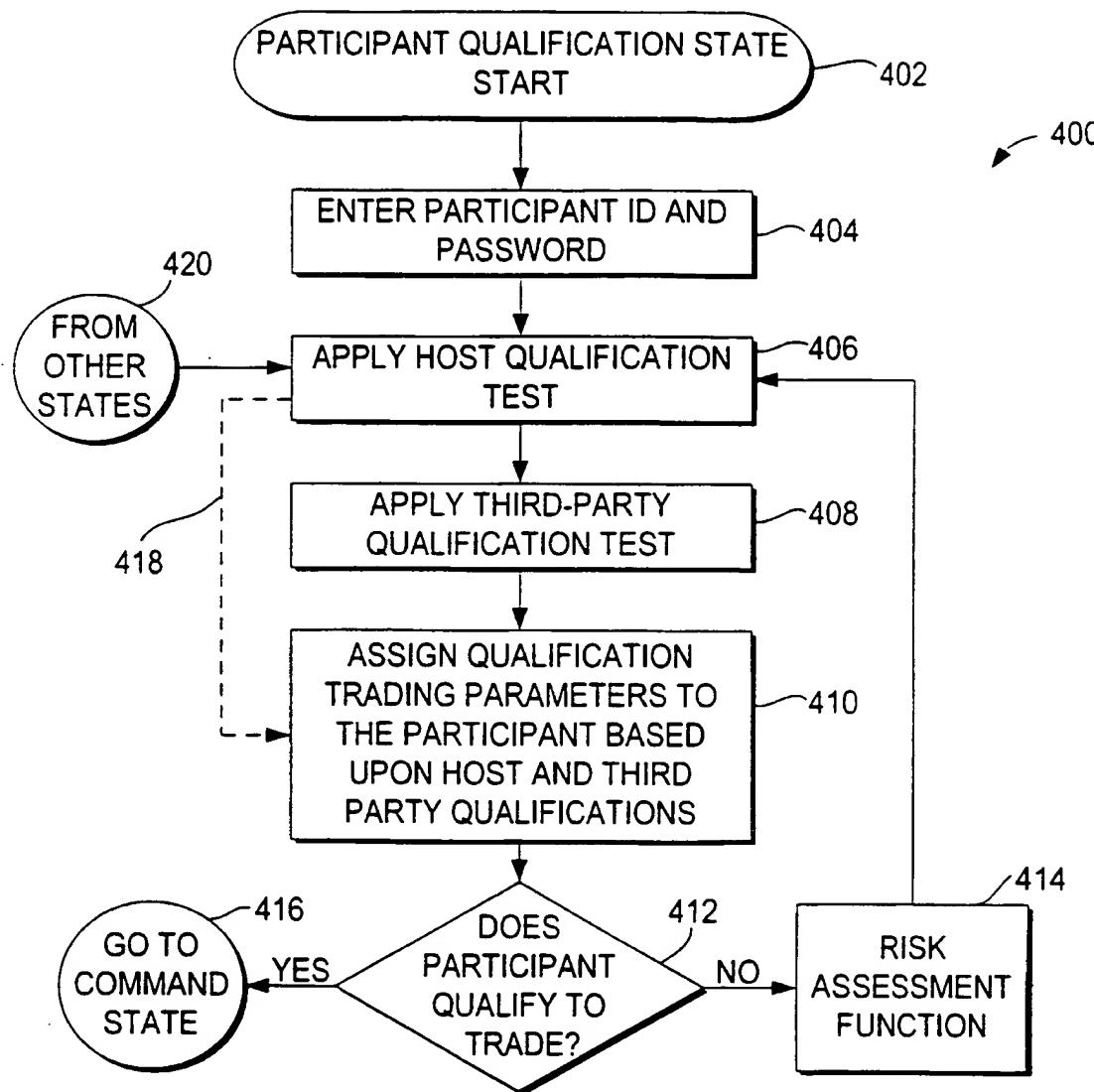


FIG. 4

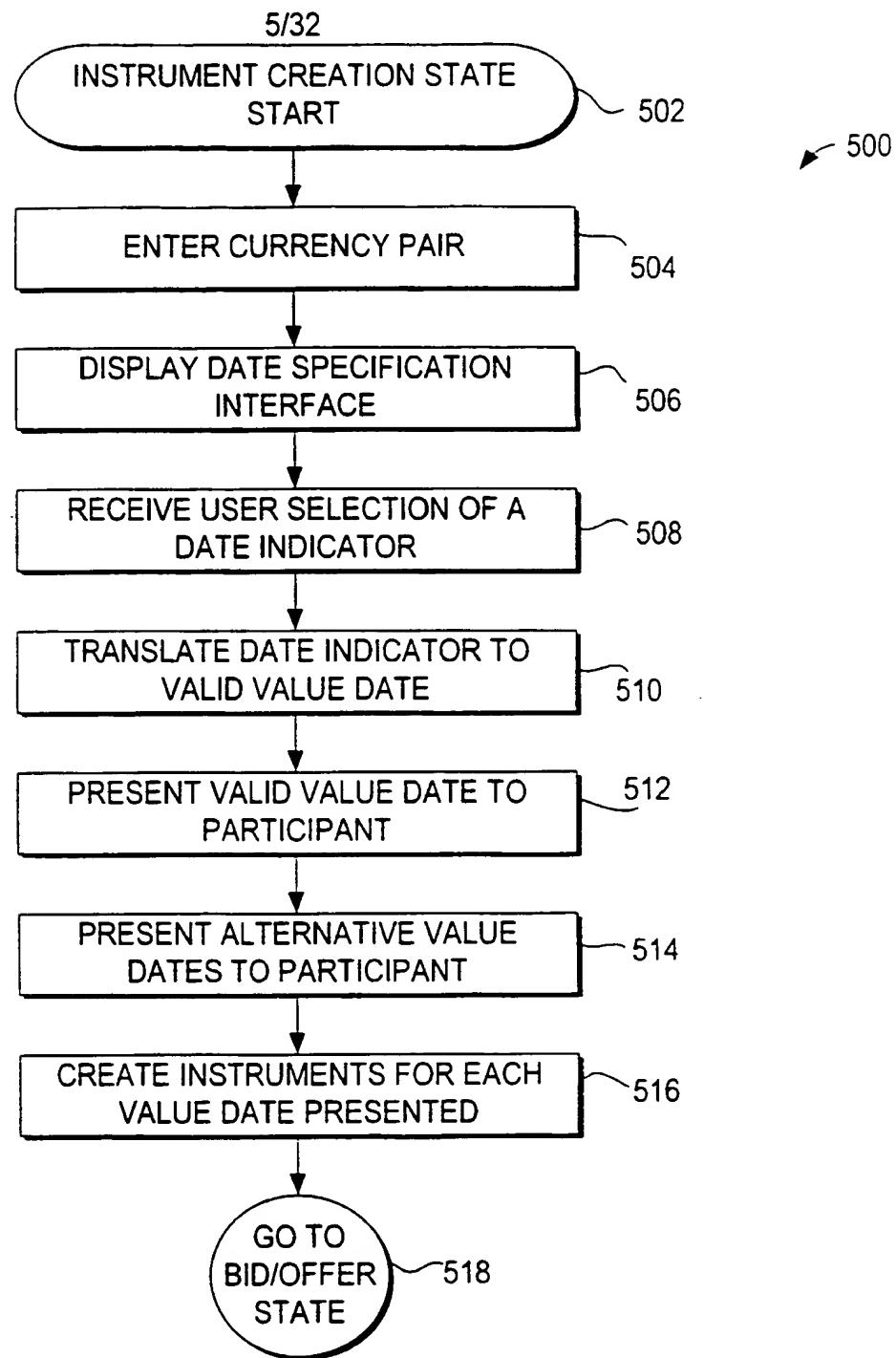
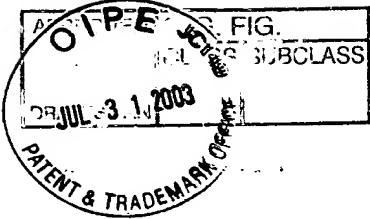
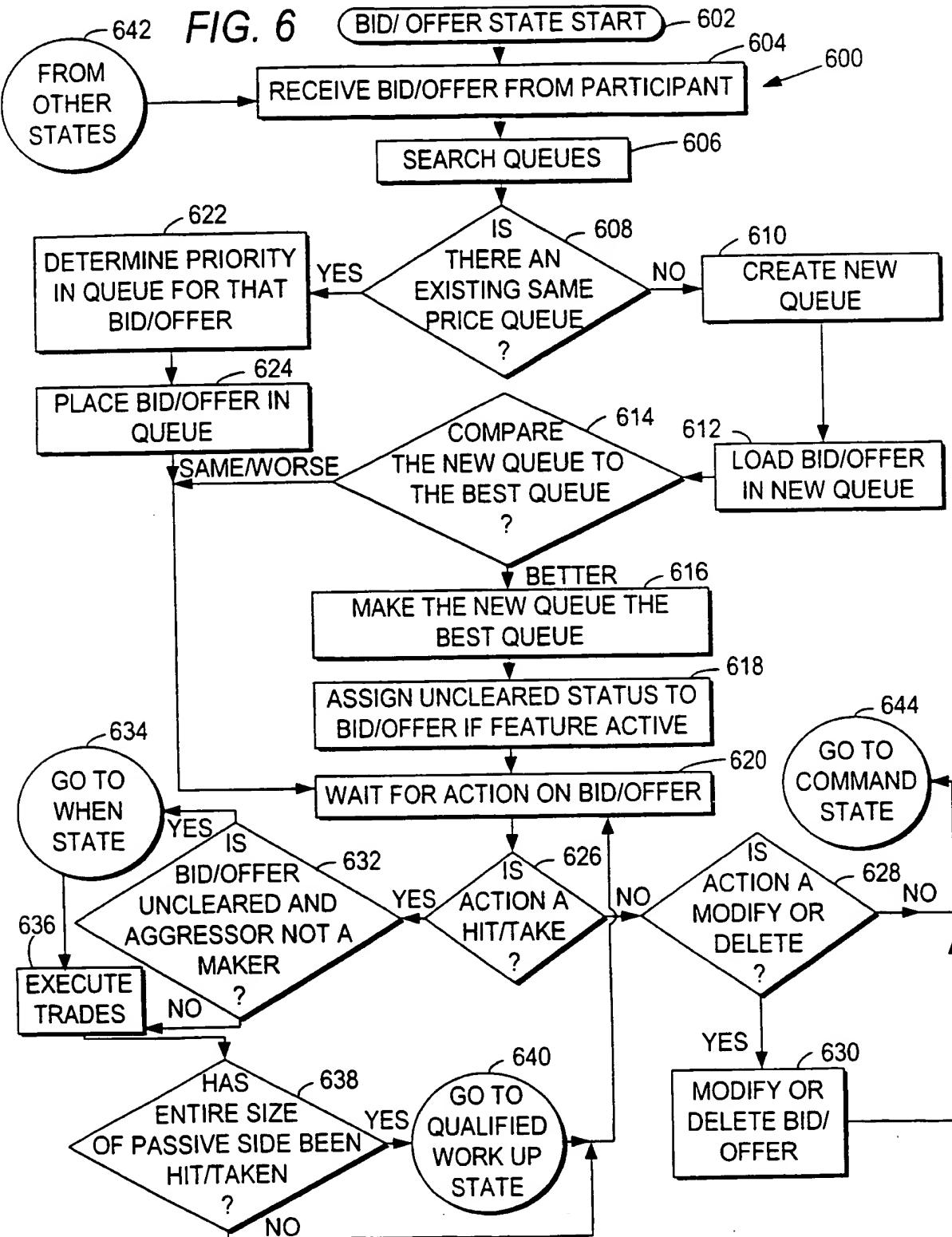


FIG. 5



6/32



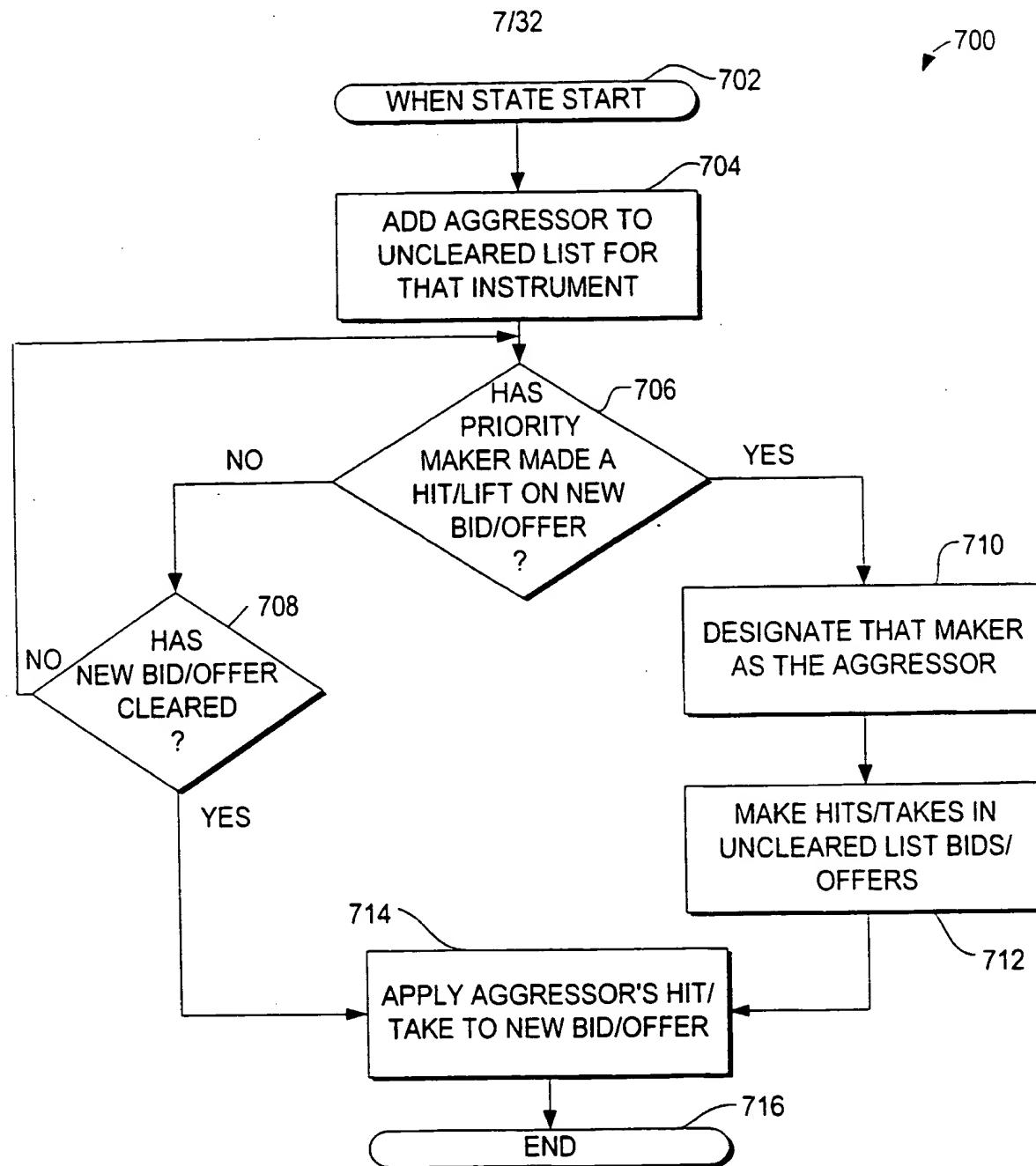


FIG. 7

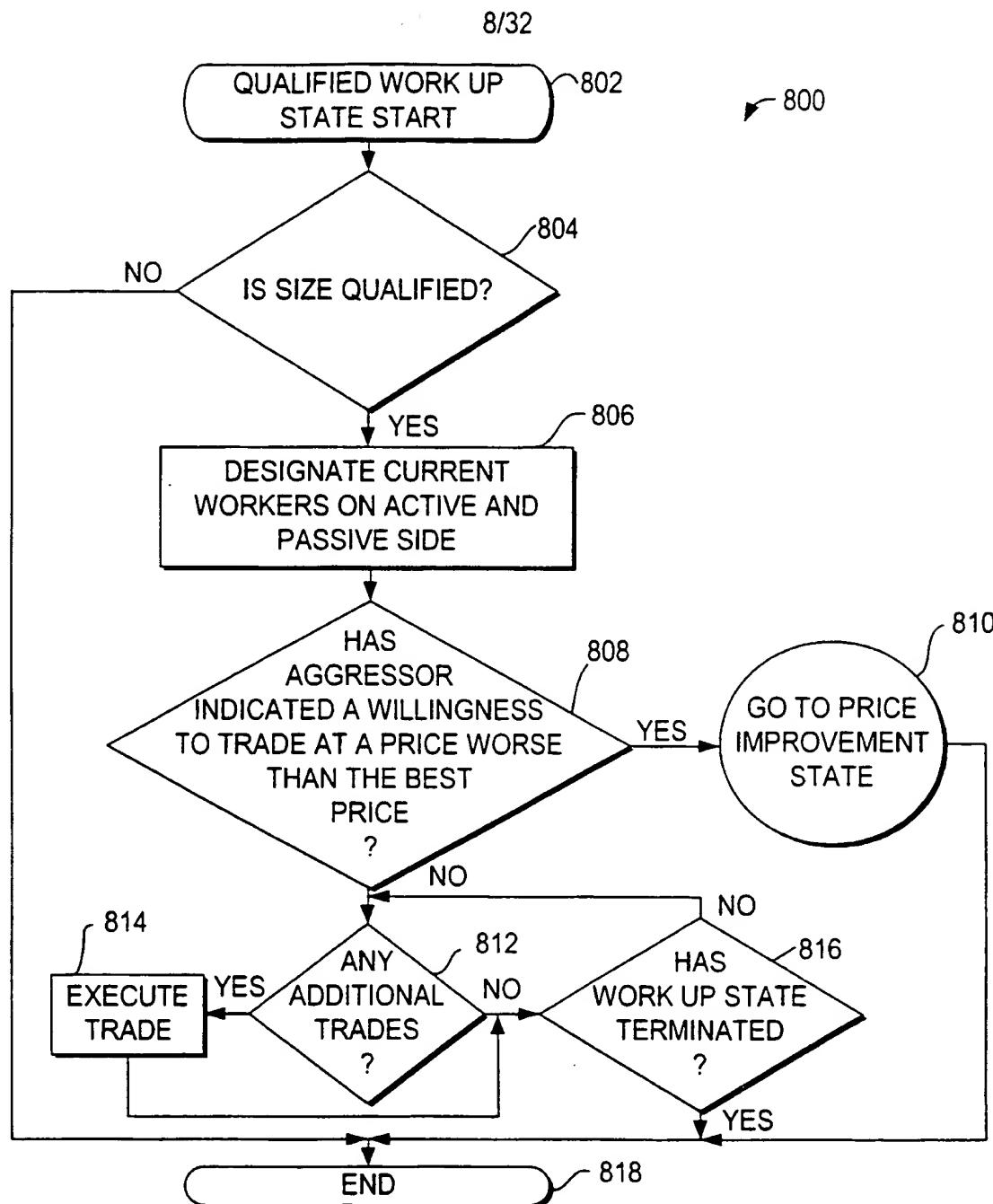
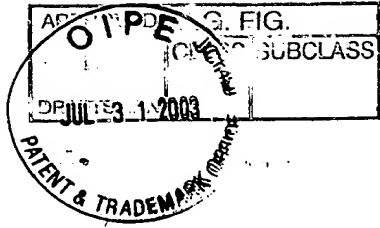


FIG. 8



Applicants: Stuart A. Fraser et al. Docket No.: CF/002  
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Express Mail Label No.: EV242439368US Sheet 9 of 32  
Applicants: Stuart A. Fraser et al. Docket No.: CF/002

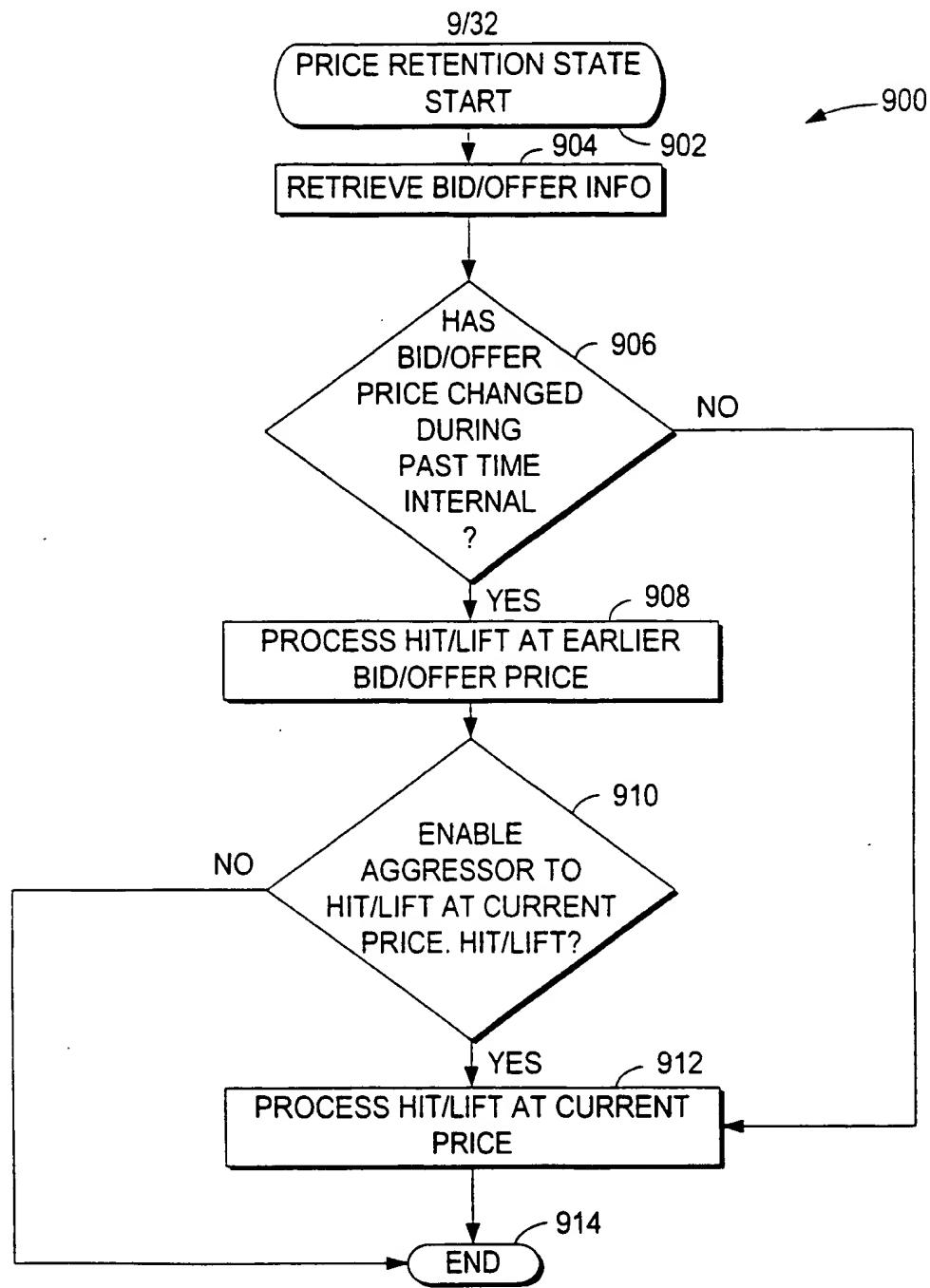
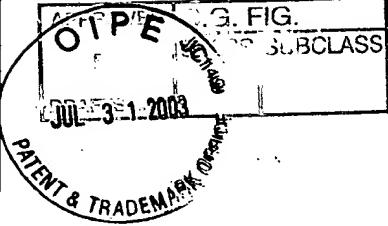


FIG. 9



10/32

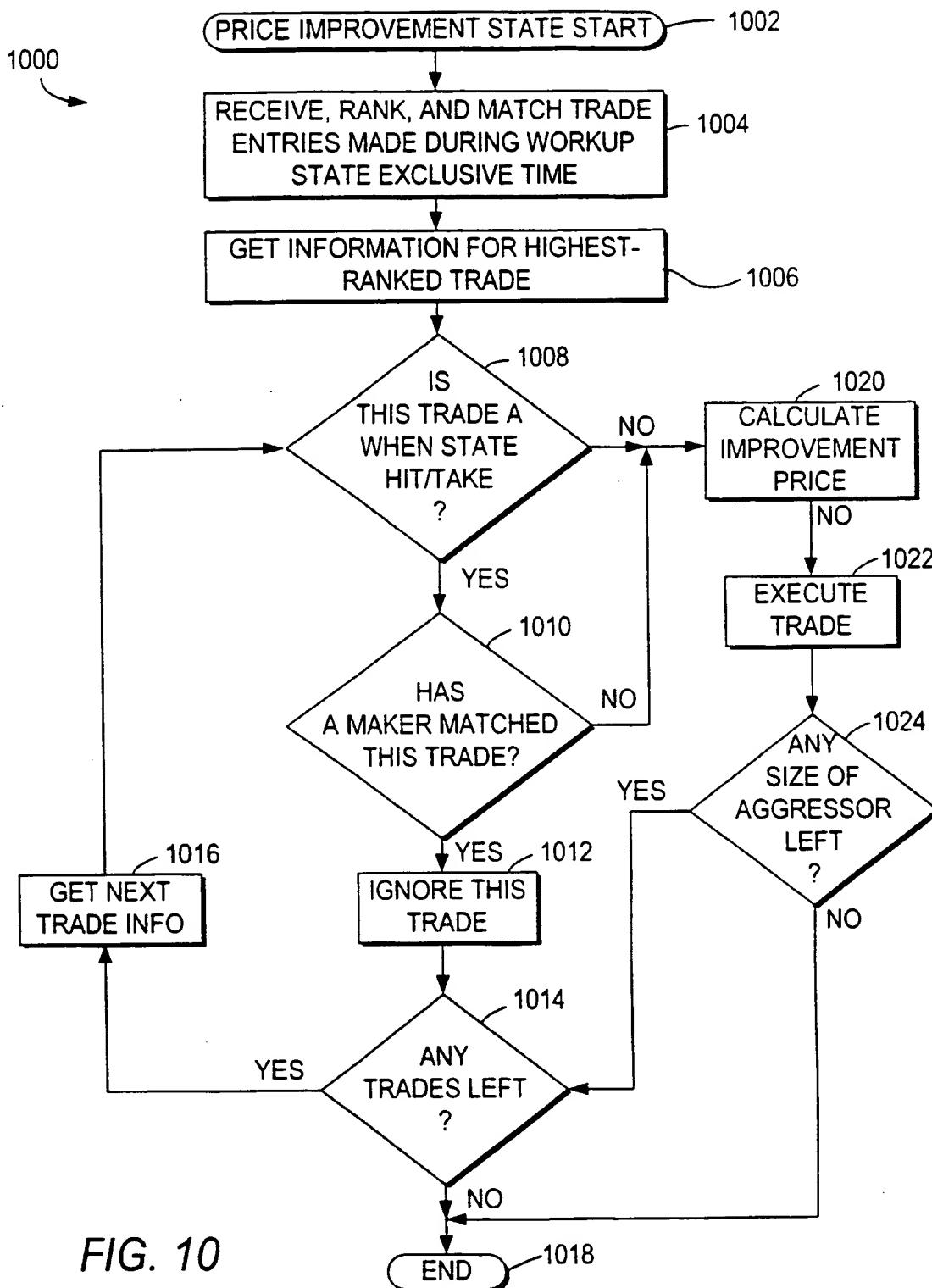
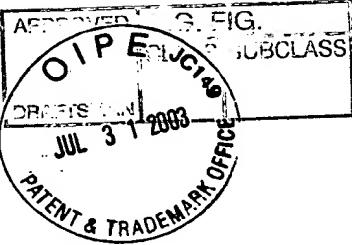


FIG. 10



Applicants: Stuart A. Fraser et al.

Docket No.: CF/002

App. No.: 09/553,423

April 19, 2000  
SYSTEMS AND METHODS FOR TRADING  
Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-9000  
Express Mail Label No.: EV242439368US Sheet 11 of 32

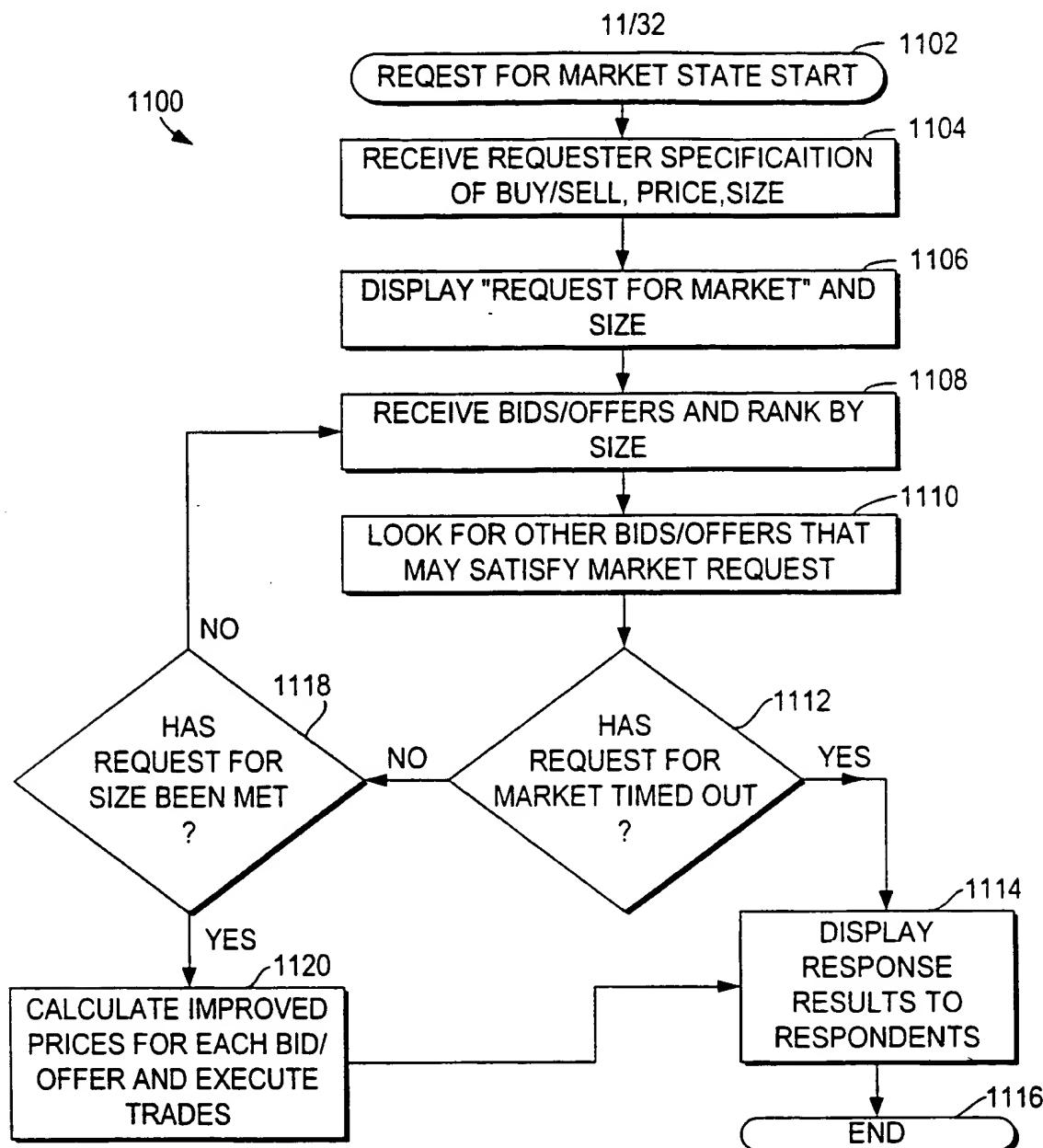


FIG. 11

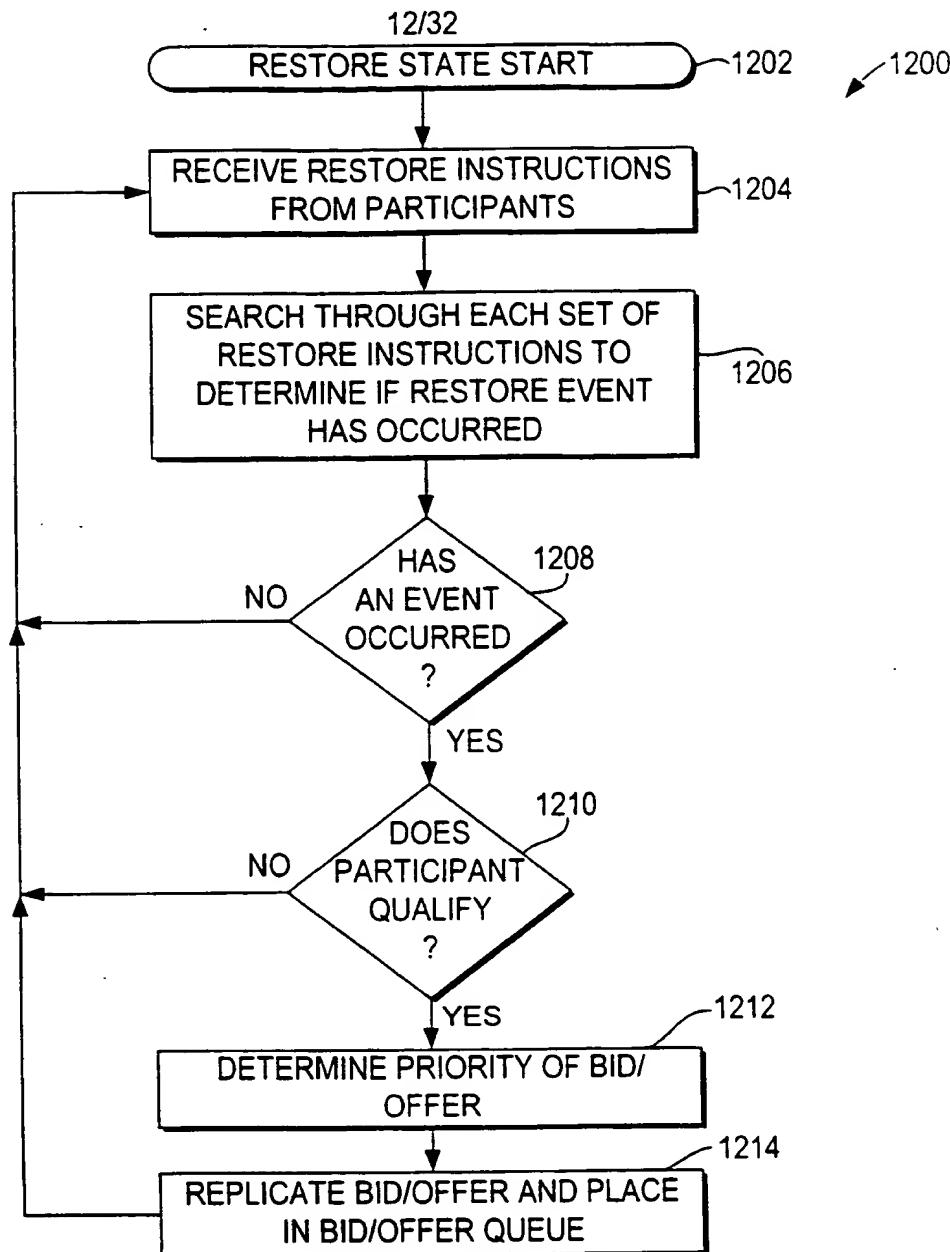
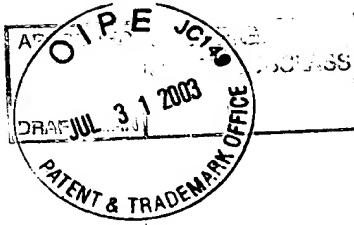
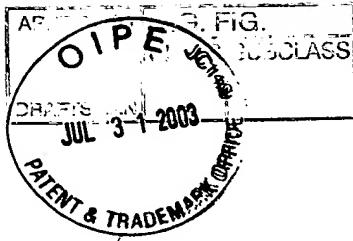


FIG. 12



Applicants: Stuart A. Fraser et al. Docket No.: CF/002  
File Date: April 19, 2000 Appl. No.: 09/553,423  
For: SYSTEMS AND METHODS FOR TRADING  
Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-9000  
Express Mail Label No.: EV242439368US Sheet 13 of 32

13/32

1300

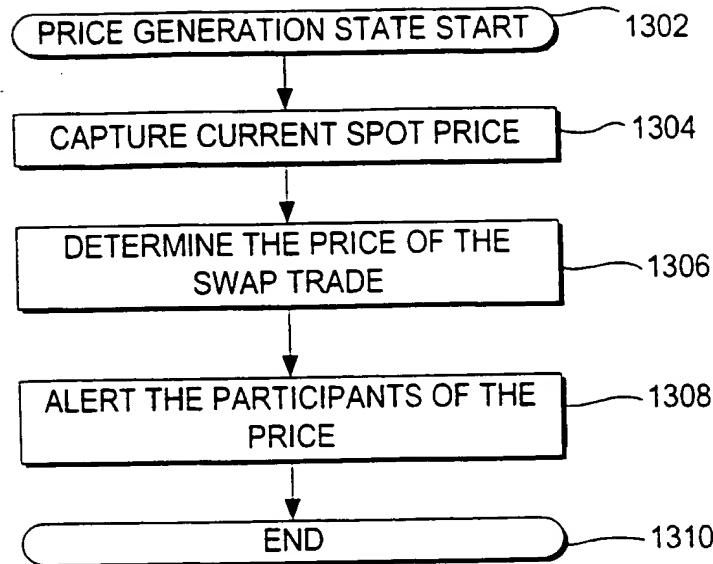
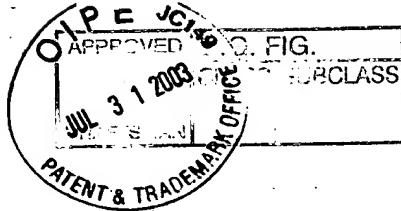


FIG. 13



Applicants: Stuart A. Fraser et al. Docket No.: CF/002  
Filed: April 19, 2000 Appl. No. 09/553,423  
For: SYSTEMS AND METHODS FOR TRADING  
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Express Mail Label No.: EV242439368US Sheet 14 of 32

14/32

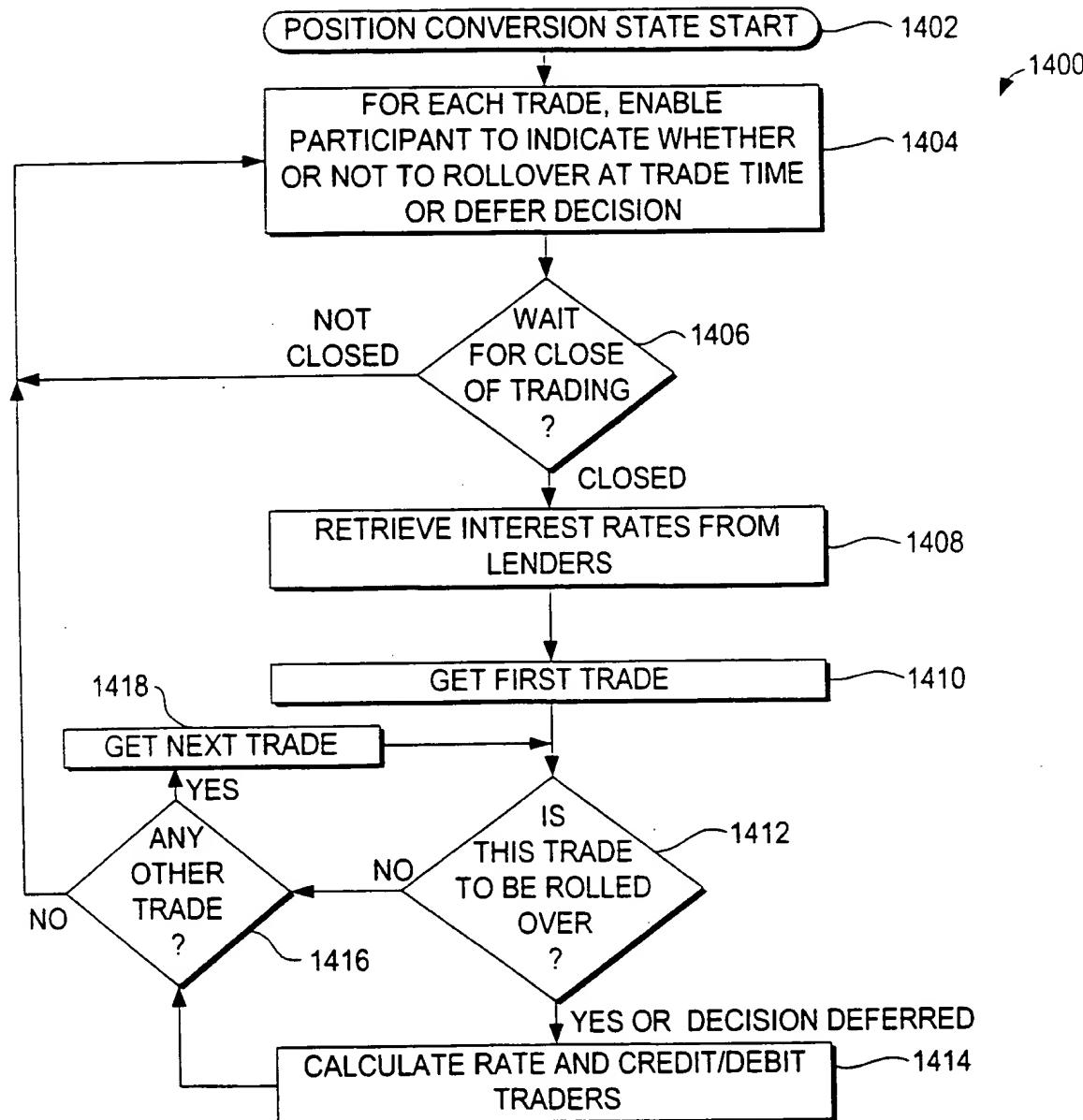


FIG. 14

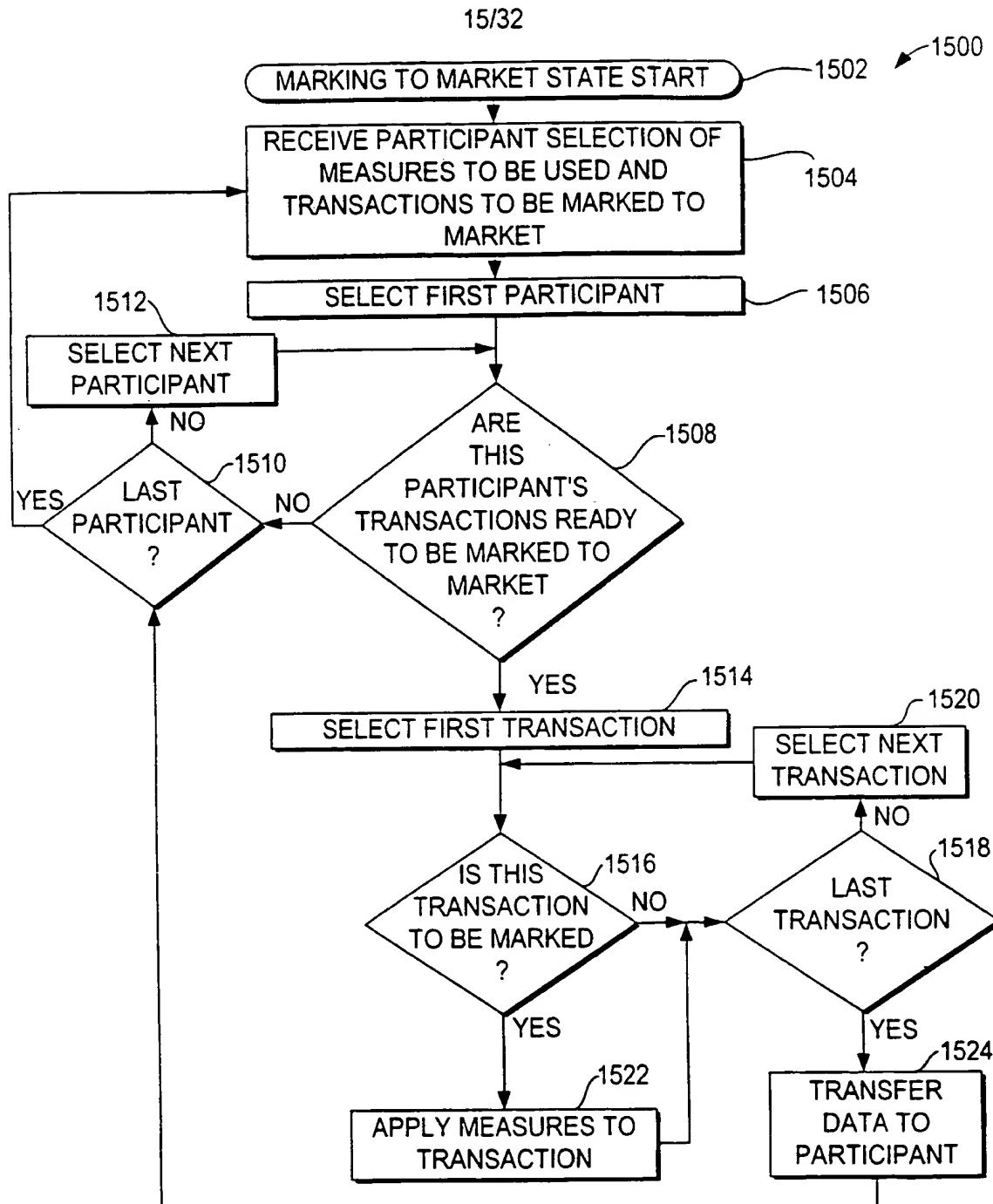
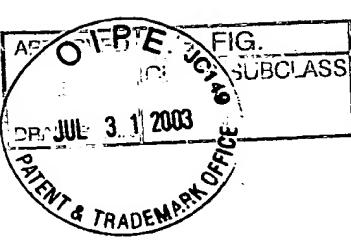
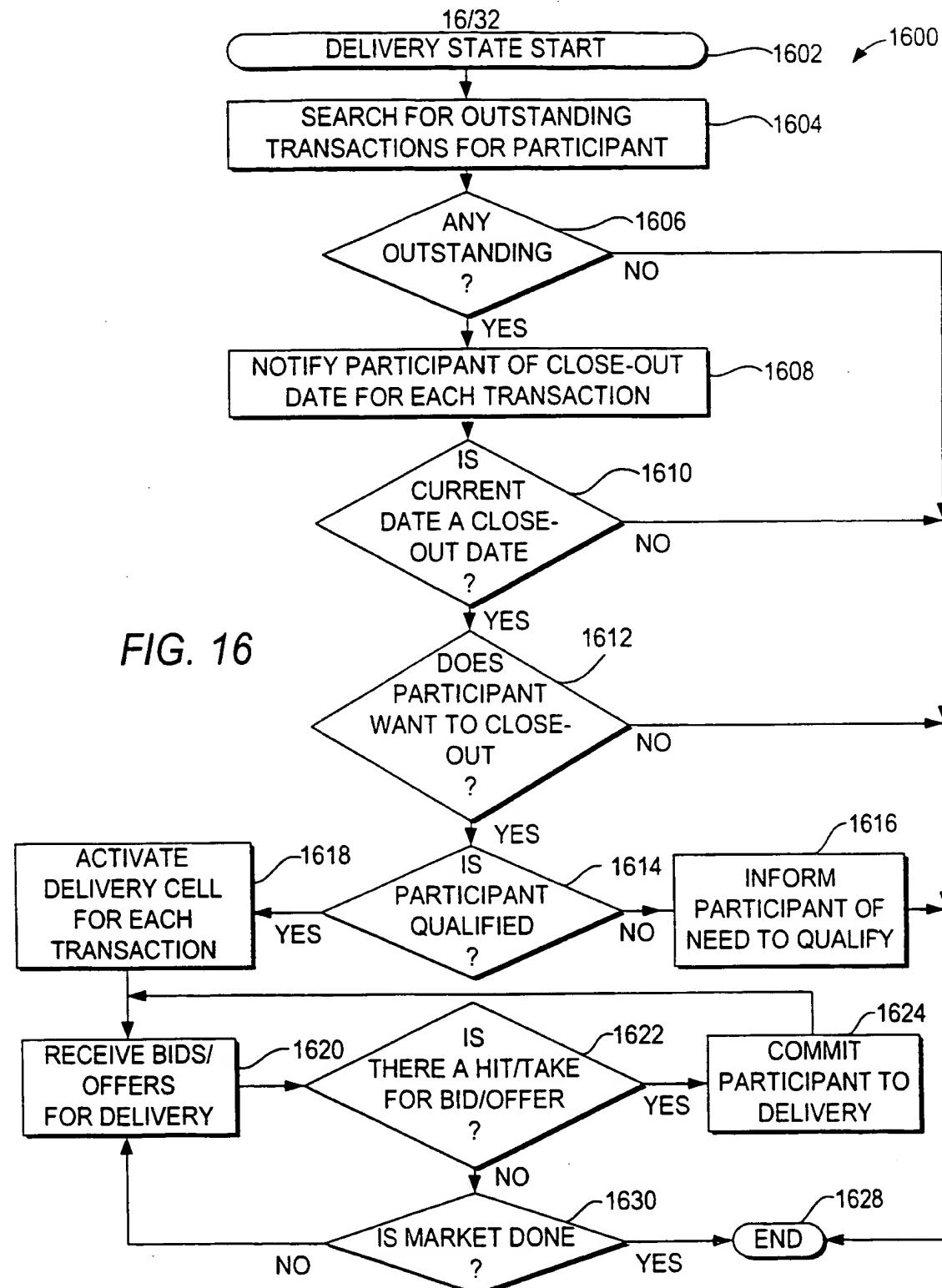


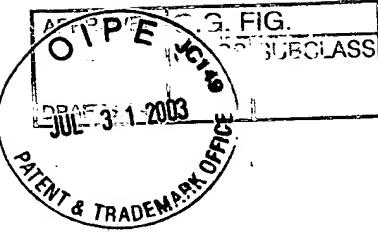
FIG. 15



Applicants: Stuart A. Fraser et al. Docket No.: CF/002  
Filed: April 19, 2000 Appl. No.: 09/553,423  
SYSTEMS AND METHODS FOR TRADING  
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Express Mail Label No.: EV242439368US Sheet 16 of 32

FIG. 16



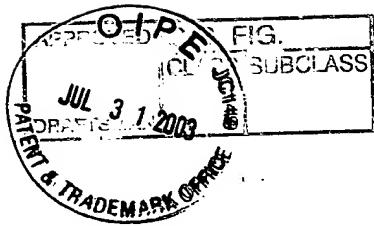


17/32

*FIG. 17*

1700

| \$/YEN     |         |     |       |         |      |
|------------|---------|-----|-------|---------|------|
| CUST.      | BID     | BOT | CUST. | OFFER   | SOLD |
| 2001       | 10-1710 | 0   | 2007  | 5-1714  | 0    |
| 2002(200)  | 15-1712 | 0   | 2006  | 10-1716 | 0    |
| TOTAL(200) | 25-1706 | 0   |       | 15-1708 | 0    |

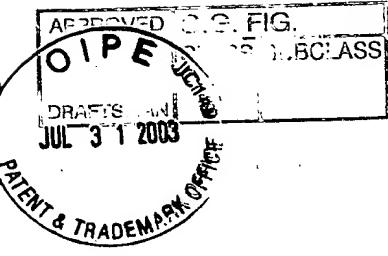


Applicants: Stuart A. Fraser et al. Docket No.: CF/002  
Filed: April 19, 2000 Appl. No. 09/553,423  
For: SYSTEMS AND METHODS FOR TRADING  
Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-9000  
Express Mail Label No.: EV242439368US Sheet 18 of 32

18/32

*FIG. 18*

|      | O/N                          | T/N | 1WK | 1MO                             | 2MO | 3MO     | 6MO | 1YR  |
|------|------------------------------|-----|-----|---------------------------------|-----|---------|-----|------|
| 1802 |                              |     |     |                                 |     |         |     | 1800 |
| 1808 | SPOT DATE 2/5<br>1.6210 - 15 |     |     | SWAP DATE 3/7 30DAYS<br>33 - 35 |     | 15 X 10 |     | 1804 |
| 1808 | SPOT DATE 2/5<br>1.6210 - 15 |     |     | SWAP DATE 3/5 28DAYS<br>30 - 32 |     | 10X25   |     | 1806 |



Applicants: Stuart A. Fraser et al. Docket No.: CF/002  
Filed: April 19, 2000 Appl. No. 09/553,423  
For: SYSTEMS AND METHODS FOR TRADING  
Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-9000  
Express Mail Label No.: EV242439368US Sheet 19 of 32

19/32

FIG. 19

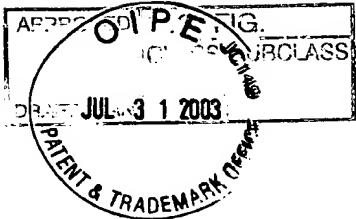
1900

| \$/YEN    |         |     |         |       |      |
|-----------|---------|-----|---------|-------|------|
|           | 121.205 | 27  | 121.220 | 10    |      |
| CUST.     | BID     | BOT | CUST.   | OFFER | SOLD |
| 1904-3001 | 5       | 0   | * 3007  | 10    | 0    |
| 3002      | 1       | 0   |         | 1906  |      |
| 3001      | 1       | 0   |         |       |      |
| 3003      | 20      | 0   |         |       |      |
| TOTAL     | 27      | 0   |         | 10    | 0    |

1902

1906

1908



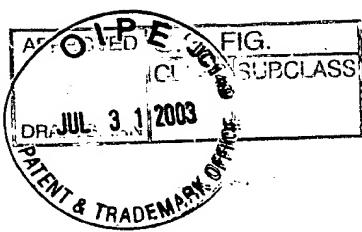
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Express Mail Label No.: EV242439368US Sheet 20 of 32

20/32

*FIG. 20*

2100

| \$/YEN    |     |     |          |       |      |  |
|-----------|-----|-----|----------|-------|------|--|
| 121.205   |     | 20  | *121.220 |       | 1    |  |
| CUST.     | BID | BOT | CUST.    | OFFER | SOLD |  |
| 2102-3002 | 10  | 0   | *3007    | 1     | 0    |  |
| 2104-3003 | 10  | 0   |          |       | 2106 |  |
| TOTAL     | 20  | 0   |          | 1     | 0    |  |



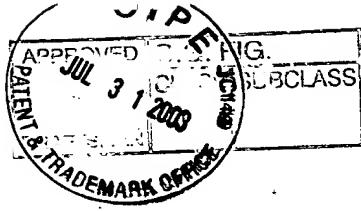
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Express Mail Label No.: EV242439368US Sheet 21 of 32

21/32

FIG. 21

2150

| \$/YEN    |     |     |         |       |        |
|-----------|-----|-----|---------|-------|--------|
| 121.205   |     | 20  | 121.220 |       | WTAK 1 |
| CUST.     | BID | BOT | CUST.   | OFFER | SOLD   |
| 2156-3002 | 0   | 0   | 3007    | 1     | 0      |
| 2158-3003 | 0   | 0   | 2154    | 2106  |        |
| 2152-3001 | 1   | 0   |         |       |        |
| TOTAL     | 1   | 0   |         | 1     | 0      |



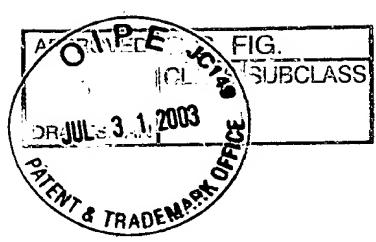
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For: SYSTEMS AND METHODS FOR TRADING  
Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-9000  
Express Mail Label No.: EV242439368US Sheet 22 of 32

22/32

FIG. 22a

2200

| \$/YEN    |     |     |         |       |      |
|-----------|-----|-----|---------|-------|------|
| 121.205   |     | 25  | 121.220 |       | 45   |
| CUST.     | BID | BOT | CUST.   | OFFER | SOLD |
| 2202-3001 | 5   | 0   | 3007    | 25    | 0    |
| 2204-3002 | 5   | 0   | 3006    | 10    | 0    |
| 2206-3003 | 10  | 0   | 3005    | 10    | 0    |
| 2208-3001 | 5   | 0   |         |       |      |
| TOTAL     | 25  | 0   |         | 45    | 0    |



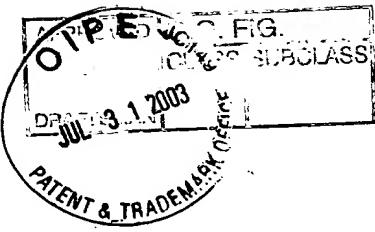
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Filed: Jul 19, 2000 Appl. No. 09/553,423  
For: SYSTEMS AND METHODS FOR TRADING  
Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-9000  
Express Mail Label No.: EV242439368US Sheet 23 of 32

23/32

FIG. 22b

2220

| \$/YEN  |     | REFNO 68119 |         |      |      |
|---------|-----|-------------|---------|------|------|
| 121.205 | HIT | 25          | 121.220 | 45   |      |
| CUST.   | BUY | BOT         | CUST.   | SELL | SOLD |
| [3003   | 0   | 10]         | [3005   | 0    | 25]  |
| 3002    | 0   | 5           |         |      |      |
| 3001    | 0   | 10          |         |      |      |
| TOTAL   | 0   | 25          |         | 0    | 25   |



Applicants: Stuart A. Fraser et al. Docket No.: CF/002  
Filed: April 19, 2000 Appl. No. 09/553,423  
For: SYSTEMS AND METHODS FOR TRADING  
Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-9000  
Express Mail Label No.: EV242439368US Sheet 24 of 32

24/32

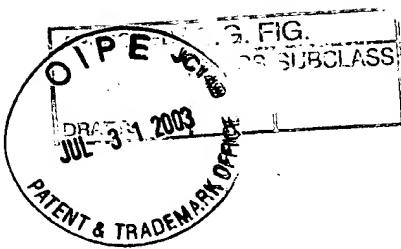
FIG. 22c

2240

REFNO 68119

121.205 HIT 25

| CUST.  | BUY | BOT  | CUST. | SELL | SOLD   |   |      |     |
|--------|-----|------|-------|------|--------|---|------|-----|
| [ 3003 | 15  | 2242 | 10]   | 2244 | [ 3005 | 0 | 2246 | 25] |
| 3002   | 0   | 5    |       | 3004 | 50     | 0 |      |     |
| 3001   | 0   | 10   |       |      |        |   |      |     |
| TOTAL  | 15  | 25   |       | 50   | 25     |   |      |     |



Applicants: Stuart A. Fraser et al. Docket No.: CF/002  
File. No. 09/553,423  
For: SYSTEMS AND METHODS FOR TRADING  
Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-9000  
Express Mail Label No.: EV242439368US Sheet 25 of 32

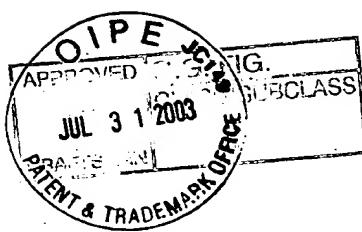
25/32

FIG. 22d

2260

| \$/YEN  |     | REFNO 68119 |       |      |      |
|---------|-----|-------------|-------|------|------|
| 121.205 | HIT | 40          | CUST. | BUY  | BOT  |
| CUST.   | BUY | BOT         | CUST. | SELL | SOLD |
| [3003   | 0   | 25]         | 3005  | 0    | 35   |
| 3002    | 0   | 5           | 3004  | 45   | 5    |
| 3001    | 0   | 10          |       |      |      |
| TOTAL   | 0   | 40          |       | 45   | 40   |

2264 2262



Applicants: Stuart A. Fraser et al.  
Filed: April 19, 2000

Docket No.: CF/002  
Appl. No.: 09/553,423  
SYSTEMS AND METHODS FOR TRADING  
Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-9600  
Express Mail Label No.: EV242439368US Sheet 26 of 32

26/32

FIG. 23a

2300

| \$/YEN        |     | REFNO 68119 |       |      |      |
|---------------|-----|-------------|-------|------|------|
| 121.205       |     | HIT         | 7     |      |      |
| CUST.         | BUY | BOT         | CUST. | SELL | SOLD |
| 3001          | 0   | 5 2302      | [3007 | 0    | 7]   |
| 3002          | 0   | 1 2304      |       |      |      |
| 3003          | 0   | 1 2306      |       |      |      |
| [3004 121.100 | 10  | 0]          |       |      |      |
| TOTAL         | 10  | 7           |       | 0    | 7    |



Applicants: Stuart A. Fraser et al. Docket No.: CF/002  
Filed: April 19, 2000 Appl. No. 09/553,423  
For: SYSTEMS AND METHODS FOR TRADING  
Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-9000  
Express Mail Label No.: EV242439368US Sheet 27 of 32

27/32

FIG. 23b

2350

| \$/YEN  |     | TZ  | REFNO 68119 |      |      |  |
|---------|-----|-----|-------------|------|------|--|
| 120.100 | HIT | 10  | 0           |      |      |  |
| CUST.   | BUY | BOT | CUST.       | SELL | SOLD |  |
| [3004   | 0   | 10] | [3007       | 15   | 17]  |  |
| 3001    | 0   | 5   |             |      |      |  |
| 3002    | 0   | 1   |             |      |      |  |
| 3003    | 0   | 1   |             |      |      |  |
| TOTAL   | 0   | 17  |             | 15   | 17   |  |



Applicants: Stuart A. Fraser et al. Docket No.: CF/002  
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For: SYSTEMS AND METHODS FOR TRADING  
Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-9000  
Express Mail Label No.: EV242439368US Sheet 28 of 32

28/32

FIG. 24a

| 2402         |        | 2400   |         |        |       |        |        |
|--------------|--------|--------|---------|--------|-------|--------|--------|
| 124.20       | 25     | CUST.  | BID     | BOT    | CUST. | OFFER  | SOLD   |
| 2408         | 2001   | 10     | 0       | 2007   | 5     | 0      | 2416   |
| 2410         | 2002   | 15     | 0       | 2006   | 10    | 0      | 2418   |
|              | TOTAL  | 25     | 0       |        | 15    | 0      |        |
| 2404         | 124.00 | 20     |         | 124.40 | 10    |        |        |
| 2412         | 2005   | 20     |         | 2008   | 10    | 0      | 2420   |
|              | TOTAL  | 20     |         |        | 10    | 0      |        |
| 2406         | 123.90 | 45     |         | 124.50 | 60    |        | 2422   |
| 2414         | 2012   | 45     |         | 2007   | 20    |        | 2424   |
|              |        |        |         | 2011   | 40    |        |        |
|              | TOTAL  | 45     |         |        | 60    | 0      |        |
| [124] 45x.90 |        | 20x.00 | 25x.20x | 15x    | .30   | 10x.40 | 60x.50 |



Applicants: Stuart A. Fraser et al. Docket No.: CF/002  
Filed: April 19, 2000 Appl. No.: 09/553,423  
SYSTEMS AND METHODS FOR TRADING  
Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-9000  
Express Mail Label No.: EV242439368US Sheet 29 of 32

29/32

FIG. 24b

2430

| 124.20 TO .00 HIT 76 |              |            |           |       |      |      |
|----------------------|--------------|------------|-----------|-------|------|------|
|                      | CUST.        | BUY        | BOT       | CUST. | SELL | SOLD |
| 124.30               | 2009         | WT10       |           |       |      |      |
| 124.20               | 2001         | 5          | 10        | 2008  | 14   | 76   |
|                      | <u>2002</u>  | <u>WT5</u> | <u>1</u>  |       |      |      |
|                      | <u>TOTAL</u> |            | <u>11</u> |       |      |      |
| 124.00               | <u>2005</u>  | <u>0</u>   | <u>20</u> |       |      |      |
| 123.90               | <u>2012</u>  | <u>0</u>   | <u>45</u> |       |      |      |
|                      | <u>TOTAL</u> |            | <u>76</u> |       |      |      |

30/32

FIG. 24C

2470

| [124] 45X00 20X.10 15X.20 10X.30 HIT |             |     |     |       |           |
|--------------------------------------|-------------|-----|-----|-------|-----------|
|                                      | CUST.       | BID | BOT | CUST. | OFFER     |
| 124.30                               | <u>2009</u> |     | 10  | 2008  | <u>10</u> |
|                                      | TOTAL       |     | 10  |       | 10        |
| 124.20                               | 2001        |     | 14  | 2008  | 15        |
|                                      | <u>2002</u> |     | 1   |       |           |
|                                      | TOTAL       |     | 15  |       |           |
| 124.00                               | <u>2005</u> |     | 20  | 2008  | <u>20</u> |
|                                      | TOTAL       |     | 20  |       | 20        |
| 123.90                               | <u>2012</u> |     | 45  | 2008  | <u>45</u> |
|                                      | TOTAL       |     | 45  |       | 45        |
|                                      | TOTAL       |     | 90  |       | 90        |



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For: SYSTEMS AND METHODS FOR TRADING  
Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-9000  
Express Mail Label No.: EV242439368US Sheet 31 of 32

31/32

*FIG. 25a*

| O/N           | T/N | 1WK | 1MO | 2MO    | 3MO | 6MO | 1YR |
|---------------|-----|-----|-----|--------|-----|-----|-----|
|               |     |     |     | 2500   |     |     |     |
| [ 34-30 ]     |     |     | 3/5 | 28DAYS |     |     |     |
| [ 124.60-70 ] | 2/5 |     |     |        |     |     |     |
| [ 124.65 ]    |     |     |     |        |     |     |     |



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Express Mail Label No.: EV242439368US Sheet 32 of 32

32/32

**FIG. 25b**

| O/N | T/N | 1WK | 1MO        | 2MO | 3MO     | 6MO | 1YR  |
|-----|-----|-----|------------|-----|---------|-----|------|
|     |     |     |            |     |         |     | 2550 |
|     |     |     | HIT [ 34 ] | 3/5 | 28 DAYS |     |      |
|     |     |     | [ 124.31 ] |     |         |     |      |
|     |     |     | [ 124.65 ] |     |         |     |      |